

FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

GIC-551

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/806626

INTERNATIONAL APPLICATION NO.
PCT/US99/22663

INTERNATIONAL FILING DATE
29 September 1999

PRIORITY DATE CLAIMED
02 October 1998

TITLE OF INVENTION METHOD AND APPARATUS FOR PROVIDING RATE
CONTROL IN A VIDEO ENCODER

APPLICANT(S) FOR DO/EO/US
Siu-Wai WU

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
 - (a) Copy of patent application specification for U.S. examination (includes pgs. 19 & 34 and claims as amended on September 18, 2000 in reply to Written Opinion dated July 19, 2000)

- (b) One (1) sheet of formal drawing, together with separate transmittal letter
- (c) Patent Application Data Entry Form
- (d) Express Mail Certificate

INTERNATIONAL APPLICATION NO.
PCT/US99/22663

ATTORNEY'S DOCKET NUMBER
GIC-551

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 690.00

\$ - - - -

\$	108.00
----	--------

\$	80.00
----	-------

\$ _ _ _ _

\$	878.00
----	--------

\$ _ _ _ _

\$	878.00
----	--------

\$ _____

\$	878.00
----	--------

40.00

\$ 918.00

\$

\$

- SEND ALL CORRESPONDENCE TO:**

SIGNATURE

NAME _____

REGISTRATION NUMBER

Express Mail No.: EL 628 667 997 US

09/806626
JC08 Rec'd PCT/PTO 02 APR 2001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

WU

Filed: Herewith

For: **METHOD AND APPARATUS FOR PROVIDING RATE CONTROL IN A
VIDEO ENCODER**

DRAWING REVIEW BRANCH
Commissioner for Patents
Washington, D.C. 20231

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as Express Mail (No. EL 628 667 997 US) in an envelope addressed to: BOX PCT, Commissioner for Patents, Washington, D.C. 20231 on:
April 2, 2001

By:

Cathy Dunne
Cathy Dunne

TRANSMITTAL OF FORMAL DRAWING(S)

Dear Sir:

Enclosed is ONE (1) sheet of formal drawing for filing in the above-referenced patent application.

Please advise the undersigned attorney if correction is necessary.

Respectfully submitted,

Barry R. Lipsitz

Barry R. Lipsitz
Attorney for Applicant(s)
Registration No. 28,637
755 Main Street, Bldg. No. 8
Monroe, CT 06468
(203) 459-0200

Date: April 2, 2001
ATTORNEY DOCKET NO.: GIC-551

09806626-04001

09/806626

JC08 Rec'd PCT/PTO 02 APR 2001
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Siu-Wai WU

U.S. Application No.:

International Application No.: PCT/US99/22663

U.S. Filing Date: Herewith

International Filing Date: September 29, 1999

Title: METHOD AND APPARATUS FOR PROVIDING RATE
CONTROL IN A VIDEO ENCODER

BOX PCT
Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" Mailing Label No: EL 628 667 997 US Date of Deposit: April 2, 2001.

I hereby certify that the attached:

- [x] Check - \$918.00 (national fee and Assignment recordal fee)
- [x] PTO Form 1390 - *Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371* -- 2 sheets
- [x] Patent application data entry form -- 1 sheet
- [x] Declaration and Power of Attorney
- [x] Assignment, together with separate transmittal Form PTO-1595
- [x] Patent application specification, including claims and abstract - 51 pages (version for U.S. examination incorporating pages 19 & 34 and claims as amended on 9/18/00 in international application)
- [x] One (1) sheet of formal drawing, together with separate transmittal letter

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: BOX PCT, Commissioner for Patents, Washington, D.C. 20231

Cathy Dunne

Typed or printed name of person mailing paper or fee

Cathy Dunne

Signature of person mailing paper or fee

Respectfully submitted,

Barry R. Lipsitz

Barry R. Lipsitz
Attorney for Applicant(s)
Registration No. 28,637
Law Offices of Barry R. Lipsitz
755 Main Street, Bldg. No. 8
Monroe, CT 06468
(203) 459-0200

Date: April 2, 2001
Attorney Docket No.: GIC-551